

# THE PERFORMANCE MANAGEMENT PROCESS

Planning - Monitoring - Appraising - Developing - Rewarding



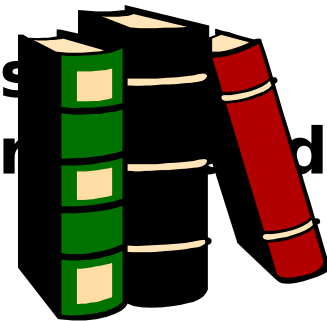
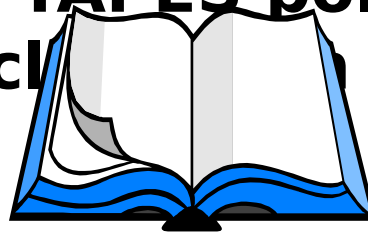
# OBJECTIVES

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◆ Be able to identify the key actions required in each of the performance management stages;

◆ Be able to explain the key points of TAPES;

◆ Be able to apply TAPES policies requirements in a clear manner on-the-job.



# PERFORMANCE MANAGEMENT

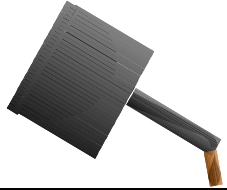
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## Definition

**A continuous, systematic **process** by which commanders, managers, and supervisors **link** the planning, directing, and executing of organizational work with civilian performance appraisal, pay, awards, promotion, and other systems.**

# LINKAGE

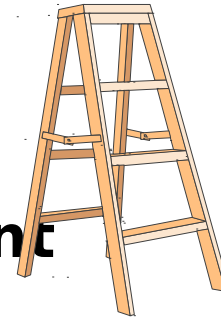
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**Compensation (WIGI's)**

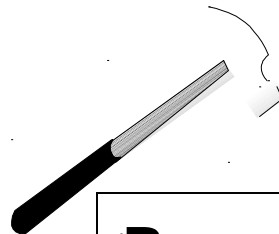
**Reduction-in-Force**

**Training/Career Development**



**Rewards**

**Promotions**

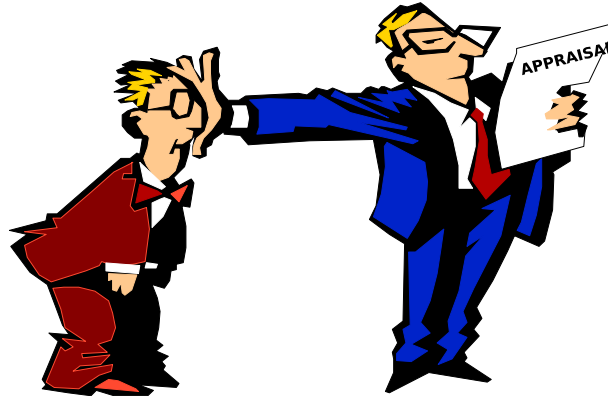


**Removal or Reduction in Grade**

**Retention**

**Reassignments**

# Planning - Monitoring - Appraising - Developing - Rewarding



**"Lousy" is a bit general...Let me  
you whaREALLY think  
of your work!**

# **PLANNING STAGE**

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## **WHAT TO THINK ABOUT**

☒ **What should I consider in developing the employee's performance plan?**

☒ **Is the employee's job description accurate?**



**Does the employee have all the information and/or resources to do the job?**



**What are the expectations of the employee?**

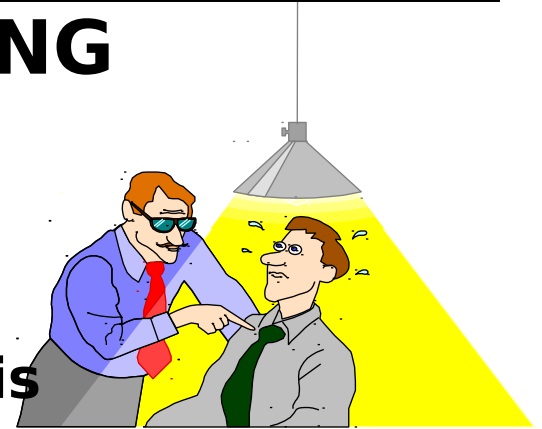
**NOTE: Be sure to set up a supervisory file on each employee.**

# **MONITORING STAGE**

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## **INITIAL COUNSELING**

- Explain the rating chain**
- Discuss the position description**
- Discuss areas of special emphasis**



- Discuss each value/responsibility/objective**
- Review any ratee written input**
- Discuss what tasks you expect**

- Discuss different views until you both are clear on requirements**
- Give examples of excellence**
- Ask the ratee about career goals and training r**

# **APPRAISAL STAGE**

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## **CONDUCTING THE APPRAISAL DISCUSSION**

- Open/positive dialogue**
- Specific ID/Commendation of tasks that were**
- Constructively address those that did not**
- Clarity on contributions and their impact**
- Focus on future objectives**
- Input for rating determination**





# EXERCISE TIME

**Case Situations:  
How would you respond?**



## **CASE SITUATIONS:**

### **EMPLOYEE RESPONSE TO THE APPRAISAL MAY DIFFER FROM WHAT YOU EXPECT**

**It is a good idea therefore to give some thought to the range of possible responses in advance, and make plans accordingly.**

**How would you respond to the employee behavior described in the following case situations?**

## **SITUATION 1**

**The employee agrees with the appraisal and wants to improve. Some genuine differences of opinion are expressed, but the employee makes positive efforts to clarify the issues rather than be defensive.**

### **YOUR RESPONSE**

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## **SITUATION 2**

**The employee does not accept responsibility for his substandard performance and blames the company politics and other employees.**

### **YOUR RESPONSE**

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## **SITUATION 3**

**The employee disagrees with elements of your appraisal and offers specific information to refute your findings.**

### **YOUR RESPONSE**

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## **SITUATION 4**

**The employee accepts the appraisal without saying a word and prepares to leave before you have discussed the next performance plan.**

### **YOUR RESPONSE**

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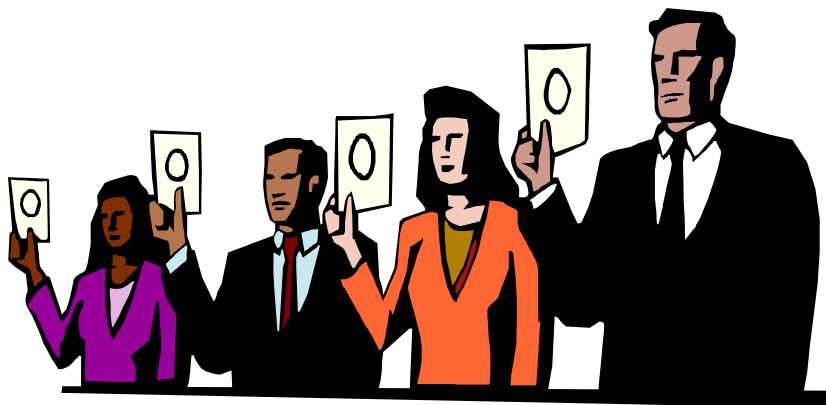
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# **Why is Performance Evaluation so difficult to do?**

**...Involves inherently subjective and inexact process of one human being assessing the work accomplishment of another...**



# DEVELOPING STAGE

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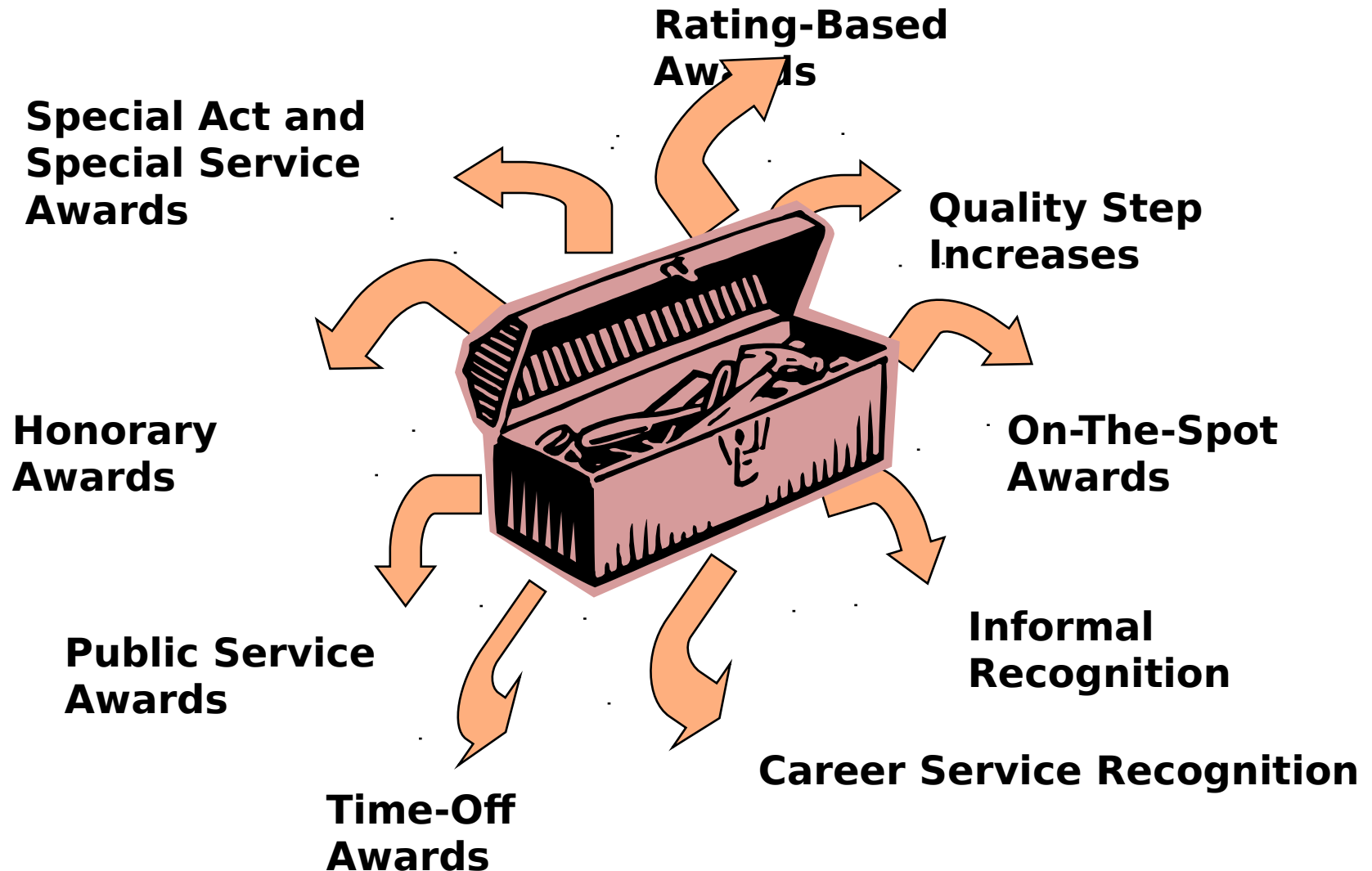
- **Identify work-related strengths and interests.**
- **Build on strengths and interests through assignment of work.**
- **Address developmental needs.**
- **Prepare and reach agreement on a development plan.**





# REWARDING STAGE

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# **REWARDING STAGE**

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## **REGULATORY/LEGAL BASIS**

- **5 USC CODE, CHAPTERS 45, 53, AND 54**
- **5 CFR, PARTS 430, 451, AND 531**
- **DoD 1416.4, 1432.2, 5120.15, 5120.16**
- **AR 672-20**
- **DA PAMPHLET 672-20**



# THE AWARD SPECTRUM

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## Three Categories

- **Non-monetary (Honorary)**
- **Monetary**
- **Time-Off**



# HONORARY AWARDS

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## 7 AWARDS FOR DA CIVILIANS

- **Essentially equivalent to DA Honorary Awards for Military**
  - Equivalent nature of recognition
  - Equivalent approval level

## PUBLIC SERVICE AWARDS



- **Army employees and contractor employees not eligible**
- **Noncareer Government officials and non-Government personnel are eligible**

# NEW AWARDS

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➤ **The Secretary of Defense Medal for the Defense of Freedom** established to recognize civilians seriously injured or killed in the line of duty  
--SOA has authority to approve

➤ **Secretary of the Army Award for Valor** for civilians who perform an act of heroism or sacrifice with voluntary risk of personal safety in the face of danger  
--either on or off the job

# DA HONORARY AWARDS HIERARCHY

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Civilian Award Authority	Authority	Military Award	
Decoration for Exceptional Civilian Service	SA	Distinguished Service Medal	CSA
Meritorious Civilian Service Commanders Award	MACOM Commanders	Legion of Merit	MACOM LTG and above
Superior Commanders Civilian Service Award	Commanders MG and above + Civilian Equiv.	Meritorious Service Medal	MG and above
Commanders Award for above Civilian Service	Commanders COL and above + Civilian Equiv.	Army Commendation Medal	COL and above
Achievement Commanders Medal for above Civilian Service	Commanders LTC and above + Civilian Equiv.	Army Achievement Medal	LTC and above

# **HONORARY AWARDS**

- **Honorary awards may be given to separating employees provided the individuals accomplishments fully meet the criteria for the particular award.**
- **A manager outside the employee's chain of command may nominate the employee for an award.**

**NOTE: Nomination must be coordinated with employee's supervisor**

# **MONETARY AWARDS**

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- **MONETARY AWARDS**

- **On-the-Spot (OTS)**
  - » **Currently \$50-\$500**
- **SPECIAL ACT/SERVICE AWARD**
  - » **Use Table of Tangible Benefits, Table of Intangible Benefits to determine amount**
  - » **Up to \$10,000 within Army**
- **RATING-BASED AWARDS**
  - » **Up to 10% of Base Salary**
- **QUALITY STEP INCREASE**
  - » **Not more than 1 per 52-week period**
  - » **Must be rated Success Level 1**





# **NO PERFORMANCE/ ACHIEVEMENT AWARDS FOR THOSE:**

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- **Under investigation or with disciplinary/  
performance-based action pending.**
- **Having had disciplinary action in last 120 days.**
- **Involved in “unlawful discrimination”.**

# TIME-OFF AWARDS

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- OTS**
- Supervisor can approve awards of 8 hours or less
  - Benefits to Government similar to SA or
  - Justification according to benefit schedule for more than one day
  - Documented on SF-50

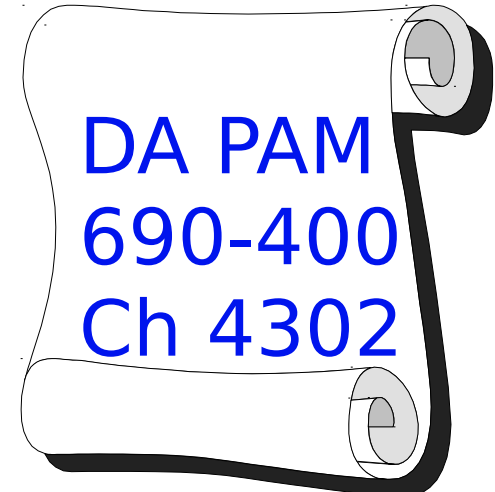
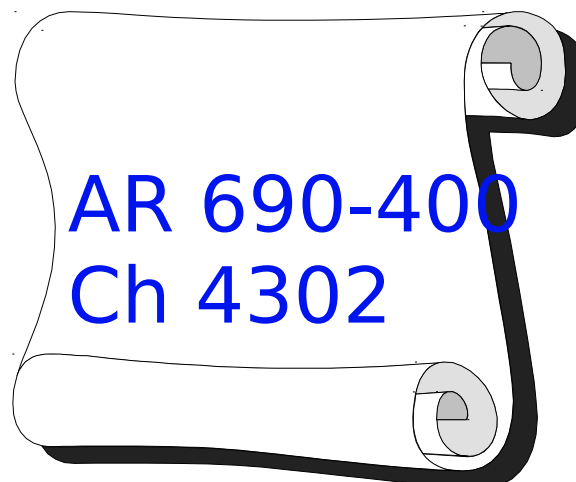


- Maximum Award Amounts
  - 40 Hours for any single award
  - 80 Hours for any 1-year period
- Limitations
  - Must be used within 1 year
  - Cannot be transferred outside of Army
  - Cannot be restored or paid in lump sum

# TAPES

TOTAL  
ARMY  
PERFORMANCE  
EVALUATION  
SYSTEM

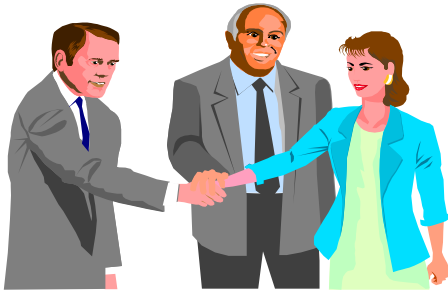
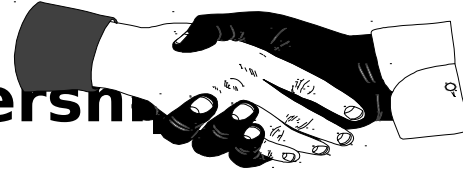
# LAWS, REGULATIONS, AND GUIDANCE



# TAPES FOCUS

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**Supervisor/Employee Partnership**



**Cooperation**



**Communication**

**Empowerment of employees**

**Organizational Goals/Results**



# **TWO SYSTEMS**

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- **Senior System**

- Evaluates ES, ST, SL, GM, WS/GS-9 and above, equivalent levels in other pay plans, and Career Interns.

- **Base System**

- Evaluates WL, WG, WS/GS-08 and below, equivalent levels in other

# **ANNUAL APPRAISAL PERIOD**

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- **Senior System**

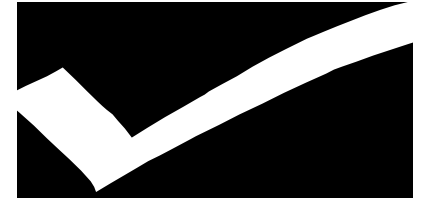
- **1 JULY - 30 JUNE:** ES, ST, SL, GM, WS/GS-13 and above, employees at equivalent levels in other pay plans.
- **1 NOV-31 OCT:** 9-12, Employees at equivalent levels in other pay plans (Except WL and WS).

- **Base System**

- **DETERMINED LOCALLY:** WG, WL, WS/GS 1-8 and employees at equivalent levels in other pay plans.

# KEY POINTS

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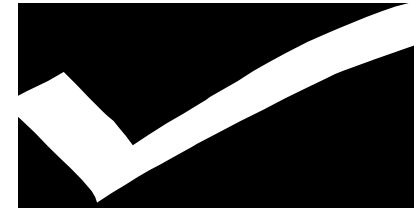


- **No appraisal permitted without valid support form in place.**
- **Minimum appraisal period is 120 calendar days (with support form in place).**



# KEY POINTS

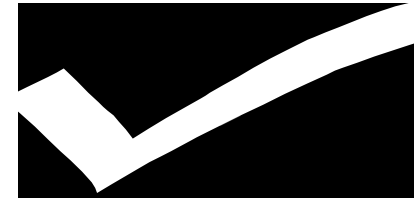
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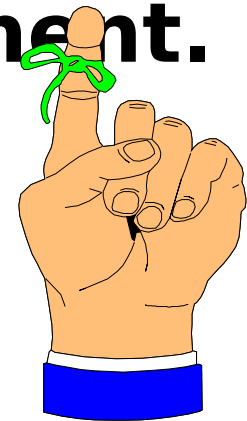
- **No minimum time required before one can serve as Rater or Senior Rater.**
- **No extension of appraisal period unless permitted by AR 690-400, Chapter 4302.**

# KEY POINTS

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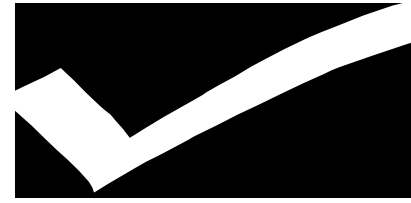


- **Support forms must accompany evaluation reports.**
- **Originals of all forms go to employees, not management.**

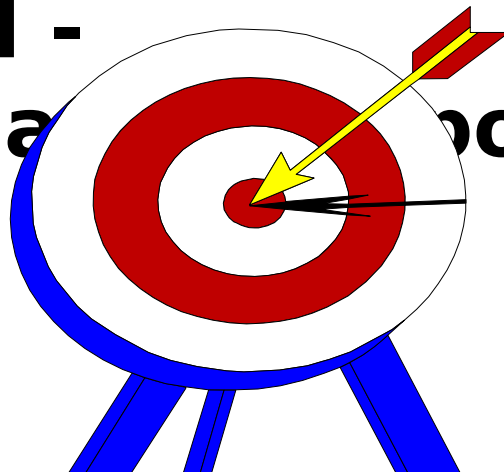


# KEY POINTS

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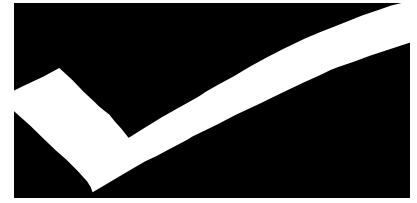


- **Rating not due when employee retires/goes to private industry.**
- **Two counseling sessions required - initial and follow-up point.**



# KEY POINTS

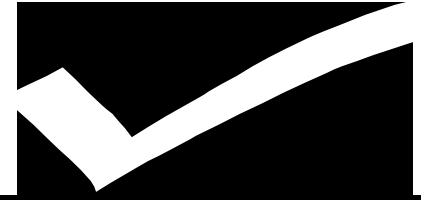
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- **Rating chain signs first - then employee.**
- **Changes can be made to support form at any time (must allow for 120 days on standards).**
- **All TAPES objectives are critical; do not identify non-critical objectives.**

# KEY POINTS

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- **Level 3 rating required to give within grade increase (WIGI).**
- **Level 4 rating must be overcome by higher rating to receive WIGI. If not, WIGI denial is produced automatically.**



# EXERCISE TIME

**Case Studies: TAPES**

**AR 690-400, Chapter 4302  
is attached for you to use.**



**1. Rick Astilbe, a supervisor of 18 WG employees, comes to you and complains about all the paperwork and counseling he's supposed to do under TAPES. He can't see any value in it at all. Also, he wants you to give him an extra 60 days to complete his appraisals on 5 of his employees who are TDY. After all, he can't counsel them.**

**2. Marcia King was temporarily detailed to another job for the last 9 months. As a result, she received a Special Appraisal with a Level 1 overall rating. Her rating cycle is now coming to a close and she will be due an annual appraisal next month. She claims that her current boss has no basis for giving her an annual appraisal and is obligated to convert the Special Appraisal to her annual rating of record. How do you respond?**

**3. Karen Schmidt is the supervisor of 3 employees who are due their annual appraisals within the next 90 days. Ms. Schmidt receives a promotion to another organization and is leaving. What kind of appraisal should she give to the 3 employees prior to her departure?**

**4. Jimmy Blanton is upset because he is supposed to receive his annual performance appraisal within two weeks. He claims that his supervisor did not provide him a signed copy of his Counseling Checklist/Record (DA Form 7223-1); moreover, his supervisor never provided him any midpoint counseling. What has to happen in order for the supervisor to correct the situation?**



**5. Michael Donahue is very dissatisfied with the rating he received. He wants to challenge it because he claims that he should have received a Level 1 and not a Level 2 overall rating. What information should you provide him?**

**6. Kathleen Brady has made some significant revisions to the performance plan of Doug Kinney, one of her “problem employees.” Kinney’s annual rating period comes to a close in 90 days. Ms. Brady wants to know whether she can rate Kinney against the revised expectations in completing her appraisal? Or, can she get an extension of the rating period?**